

Document: Notice of Intent to Adopt a Rule

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TITLE 710 SECURITIES DIVISION

LSA Document #01-72

Under IC 4-22-2-23, the Securities Division intends to adopt a rule concerning the following:

OVERVIEW: Amends 710 IAC 1-14 to revise and streamline the regulations governing broker-dealers, including the rules pertaining to broker-dealer books and records, examinations, reports, branch offices, and registration requirements. Questions or comments concerning the proposed rule amendments may be directed by mail to Indiana Securities Division, 302 West Washington Street, Room E111, Indianapolis, Indiana 46204 or by electronic mail to bskolnik@sos.state.in.us. Statutory authority: IC 23-2-1-15.